

Issue Paper Project Inspector Job File Checklist

ISSUE:

The California State Auditor report (released December 8, 2011), regarding DSA construction oversight functions, identified the following issue: "The lack of an evaluation process for inspectors increases the risk that construction will not comply with approved plans." Further, the report recommends the following:

To ensure that it formally monitors inspectors' performance, the division should reestablish a process for evaluating inspectors that provides consistent documentation of performance. The division should make this information accessible to appropriate staff.

The DSA concurred that a process for evaluating inspector performance is important and is looking to develop the tools necessary for its field staff to monitor inspector's performance and completion of required duties.

BACKGROUND

At the February 9, 2012 Committee meeting, the DSA introduced a proposed monitoring tool in a form of a job file checklist for DSA field engineers and project inspectors that lists requirements for inspector's documentation. This job file review process would aide DSA field engineers in evaluating inspector's documentation process and correcting any documentation deficiencies during the project, thus, avoiding missing documentation issues at project close-out. Lastly, the job file review could provide the basis for an effective performance evaluation of project inspectors in the future.

DSA PROPOSAL

Based on the input received at the February 9, 2012 Committee meeting and subsequent comments, the DSA revised its proposed template for job file review. The revised template, as shown on the attachment, contains the following:

1. A revised format allows the DSA field engineer to use the same document over several site visits and to see the changes in compliance status from visit to visit.
2. The revised checklist contains the following terms: complete, not complete, needs improvement, or not applicable. The proposal intends to provide for objective determination of whether a job file item is or is not complete per the requirements of DSA regulations.
3. Format Changes:
 - The list of pertinent job file items is consolidated to streamline the file review.
 - The DSA proposes to incorporate the checklist into its IR A-8, "Project Inspector and Assistant Inspector Duties and Performance."
 - The checklist will be accompanied by a set of questions for each item, also to be incorporated into IR A-8. For example, for item 11, the instruction would read: "Are copies in the file of all material testing reports conducted?"
 - The checklist is designed as a hard copy document. The DSA field engineer will e-mail a scanned copy to the project inspector and architect or engineer in responsible charge after each visit.

- A suggestion was made to add a DSA field engineer sign off on the checklist once all non-compliant items are addressed. DSA does not believe that the sign off is necessary. Instead, the DSA will use the checklist to identify a need for subsequent visits. For example, if the job file is significantly out of compliance, the field engineer will return and review the file on a subsequent visit. If all the items were corrected, the checklist will reflect the positive change.



JOB FILE REVIEW

DSA File No.: _____
DSA App. No: _____

Project Name: _____

Project Class: _____

Inspector Name: _____ E-mail: _____

DSA Field Engineers shall complete a job file review on each visit made to Class 1 and 2 school district or community college construction projects to review completeness of records. Field Engineer shall provide an electronic copy to the Project Inspector and architect after each site visit, and shall file an electronic copy in DSA project records.

Complete information on all items listed below as they are maintained in the Inspector Job File. Mark each box with one of the following: **C = Complete; N = Not complete; I = Needs Improvement; NA=Not Applicable**

Date of visit:									
Name of Assigned DSA Field Engineer: _____									
DSA Field Engineer Initials:									
1	DSA-approved plans & specifications; shop drawings, systematic mark-ups of inspected work								
2	DSA-approved Testing & Inspection List (DSA-103)								
3	Deferred submittals as required by DSA approved plans								
4	Addenda, change orders								
5	Construction change documents & log								
6	Contractor submittals (construction schedule, shop drawings, certificates, product labels, concrete trip tickets, etc.)								
7	Construction project log [all communications (RFIs, ASIs) & project related meeting minutes/notes]								
8	Deviation notices, as delivered to architect & contractor; log listing all notices with resolution status								
9	Project inspector daily inspection reports								
10	Concrete mixes & placement log								
11	Material testing & special inspection reports								
12	Completed semimonthly reports								
13	DSA trip notes from prior visits, copied to architect								
14	Building Codes and referenced standards								
COMMENTS/NOTES (INDICATE COMMENT DATE)									
COMMENTS/NOTES (INDICATE COMMENT DATE)									
COMMENTS/NOTES (INDICATE COMMENT DATE)									
COMMENTS/NOTES (INDICATE COMMENT DATE)									
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